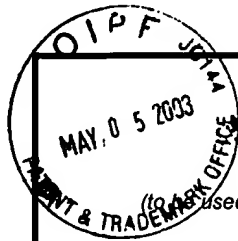


Please type a plus sign (+) inside this box



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

PTO/SB/21 (08-00)

Application Number 09/631,893  
Filing Date August 4, 2000  
First Named Inventor Patrick D. Lincoln  
Group Art Unit 2132  
Examiner Name To Be Assigned  
Attorney Docket Number 1190526-991100

Total Number of Pages in This Submission

## ENCLOSURES (check all that apply)

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please identify below):<br>References Cited; Return Postcard |
|--|--|---|

Remarks

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PATENT, TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GRAY CARY WARE & FREDENRICH LLP

Dated: April 25, 2003

By:

Attorney Name David Alberti  
Reg. No. 43,465  
Attorneys for Applicant(s)  
Gray, Cary, Ware & Fredenrich  
1755 Embarcadero Road, Palo Alto, California 94303-3340

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, DC 20231 on this date: April 28, 2003

Typed or printed name Yvette, Renee Killingham

Signature

Date April 28, 2003



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Patrick D. Lincoln

SERIAL NO.: 09/631,893

GROUPART NO.: 2132

FILING DATE: August 4, 2000

EXAMINER: Not Yet Assigned

TITLE: ***SYSTEMS AND METHOD USING INFORMATION BASED INDICIA  
FOR SECURING AND AUTHENTICATING TRANSACTIONS***

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents and Trademarks  
Washington, D.C. 20231

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Dear Sir/Madam:

In accordance with the provisions of 37 C.F.R. § 1.97, Applicants hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the references are enclosed.

**REMARKS**

In accordance with the provisions of 37 C.F.R. § 1.97, this statement is being filed  
(CHECK ONE).

- ☒ (1) within three (3) months of the **Filing Date** or before the mailing date of a **First Office Action** on the merits; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **Final Rejection** or **Notice of Allowance**, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under Rule 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **Final Rejection** or **Notice of Allowance** but before the payment of the **Issued Fee**, **AND**
- ☐ Applicant hereby Petitions the Commissioner to accept and consider the attached Information Disclosure Statement, **AND**
- ☐ the requisite Statement is below, **AND**

☐ the requisite petition fee due under Rule 1.17(i), namely \$130.00 is included herein.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application.

### STATEMENT

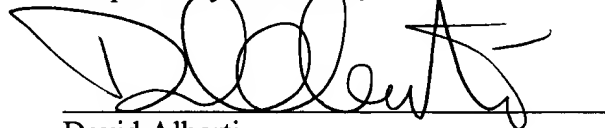
As required under §1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- ☐ 1. [E]ach item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application **not more than** three months prior to the filing date of the Information Disclosure Statement; or
- ☐ 2. [N]o item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any** individual designated in §1.56(c) **more than** three months prior to the filing of the Information Disclosure Statement.

### FEE AUTHORIZATION

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account No. **07-1896**. Any overpayments should be credited to said Deposit Account.

Respectfully submitted,



David Alberti  
Reg. No. 43,465  
Attorney for Assignee

Date: April 28, 2003

**GRAY CARY WARE & FREIDENRICH**  
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